OGA Docket Tracking Application
User’s Guide

The Office of Grievance and Appeals Docket Tracking System is designed to create, maintain, and track history for the following docket types: Provider, Grievance, Investigations, and Appeals. Each Process Type is given further details according to whether it occurs at the RBHA level or with DBHS, and what program it is for: Children, GMH, SA, SMI, or Provider concerns.

This application will allow dockets to be added, edited, and conditionally deleted for Behavioral Health Services Clients and Providers. Dockets can have events added in sequences that are predetermined by the type of docket listed above. Issues and Outcomes can be defined, investigators assigned, and corrective actions documented.

Security is provided for User IDs to be assigned, and given various levels of access to the system, according to the functions they need to perform – Administrative, Data Entry or Read-only users. Different responsibilities are assigned to people at DBHS or in the RBHAs, for table maintenance, and deletion of Dockets, Clients, History Events, and other portions of Dockets. An audit trail is kept, recording any transaction that causes database changes.

This system is for docket tracking, and the reporting requirements of AHCCCS. It does not contain all of the details about the recorded dockets. Some information, such as the names of individual clients referenced by Claims Disputes for Non-Payment of Claims, will be kept in paper folders. Report requirements have yet to be defined.

This document explains how to use the system.

System Logon

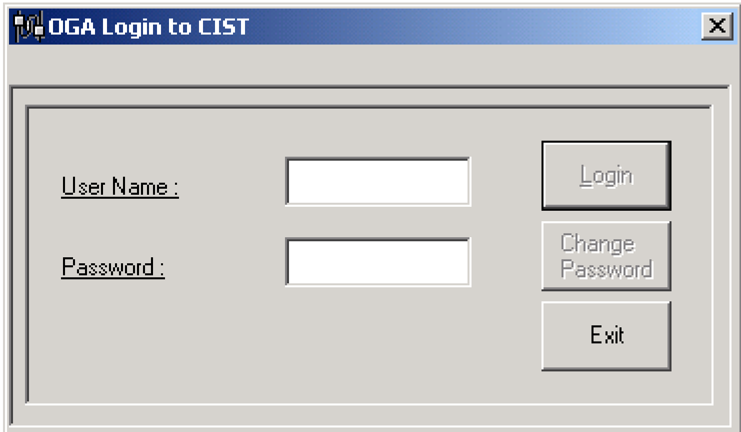


Figure 1

Actions:

1) Enter User ID and Tab to enter Password.
2) Press ENTER key or click on LOGIN with mouse.
3) The program can be exited, without signing on, by clicking the Exit command button.

Change Password

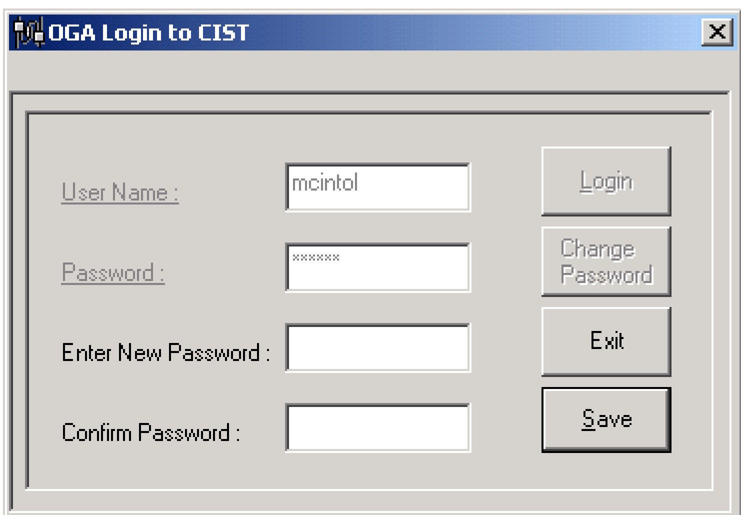


Figure 2

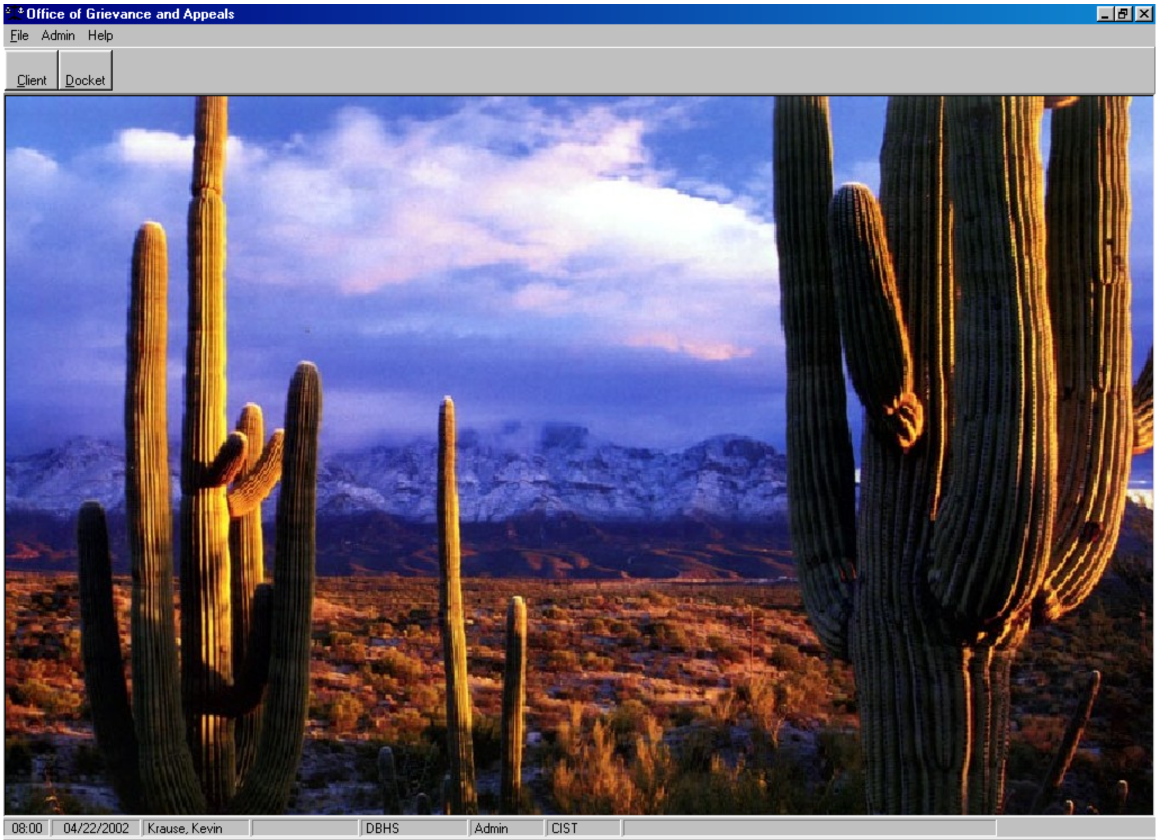
Actions:

1) Enter NEW password and Confirmation password and press Enter or Click Save Password button.

Features

- Passwords are case insensitive, 6 – 8 characters long, with at least one of them being a number. The number cannot be the first character.
- Oracle Passwords will expire, according to Security Admin. requirements.
- If the change password screen is exited or closed, the application will also exit.

OGA Desktop



Action Options:

- Client Lookup – the session will usually start here.
- Docket Lookup – if a Docket number is known, this option can be used.
- Help menu – The About selection gives the Version number.
- The Admin menu is only seen by Administrative level users.
  RBHA Administrative Users add new Users or Investigators here, under Table Maintenance.
- Logoff – allows a new User to Login.
- Exit

Click the Client button (See Fig. 3)
or click the Docket button (See Fig. 8-9)

Features

The status bar, at the bottom of the screen, will present information about the session and the User logged in:

- Time
- Date
- Person’s Name
- RBHA name, except for DBHS users
- User Type – DBHS or RBHA
- User Role – Data Entry, Admin, or Read Only
- Oracle Database name – CIST (Test) or CISP (Production)

Client Lookup

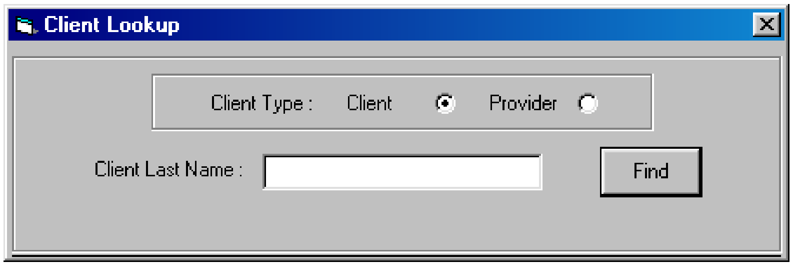


Figure 3

Actions

1) Select Client or Provider Type to Find: Type in a full name, or part of a name to get a group of Client names beginning with those letters.
2) Hit Enter or Click on the Find button

Features

- This Search is on Last Name or Provider Name ONLY
- The Provider name may not have to be typed all the way out, to identify a Provider.
- If Client Name is not matched, then a message box asks "Do you want to add a client?" (See Fig. 6-7 to Add Client)

Client Lookup Results

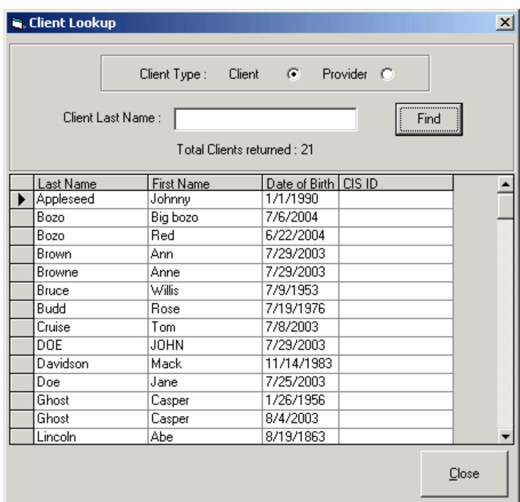


Figure 4

Actions: Locate and Select desired Client.

Features:

1) List results are alphabetical.
2) A new search can be entered by typing a new Name and selecting find.

Selecting an Client

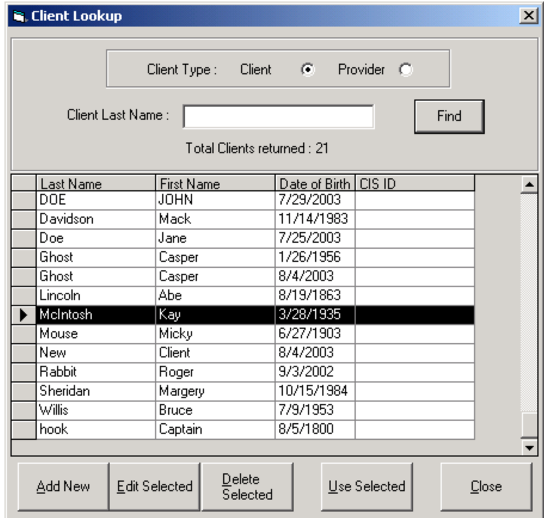


Figure 5

Action Options: A Client must be selected (clicked) before these buttons will show.

1) A new client can be added clicking the Add New button (See Fig. 6-7)
2) A selected Client's name or birth date can be changed by clicking the Edit Selected button (See Fig. 6-7)
3) Click the Use Selected button to see Main Docket Tracking screen for this Client (Fig. 10)
4) Enter a new name and click Find to get a new set of names.
5) Click Close button to start over.
6) Administrative Users can see an additional button for Delete Selected client.

Adding a New Client or Editing a Client

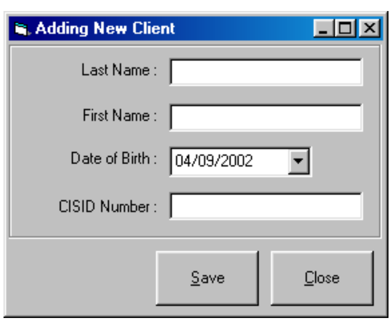


Figure 6

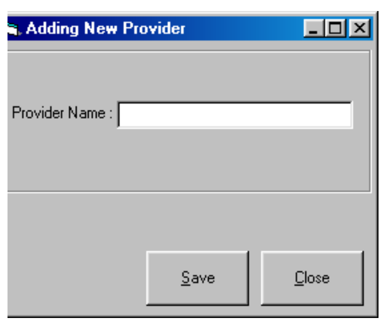


Figure 7

Actions:

1) For a new Client, fill in Last Name, First Name, and Date of Birth.
   CIS ID Number is optional.
2) To add a new Provider, type out the full Provider name to be saved.
3) Select Save to add new client; select Close to cancel action
4) The Lookup form returns. Click the client line, and Use Selected to add Docket.
   (See Figure 10 for Main Docket Tracking Screen)

Note: Date of birth must be changed to be a valid entry.

Edit an existing Client by making necessary changes and clicking Save.

Docket Lookup

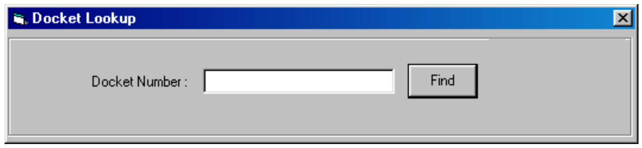


Figure 8

Actions:

1) If the Docket Number is already known, it can be entered and looked up.
2) Or enter a partial number, like V04 for all dockets from VO in April.
3) Or just click Find.

Docket Lookup Results

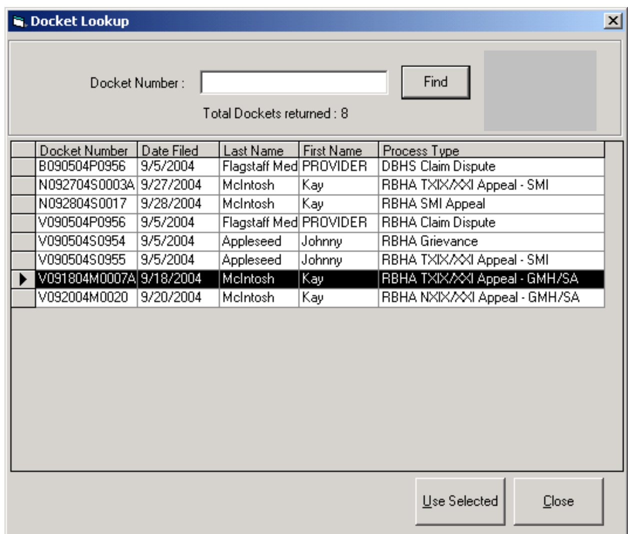


Figure 9

Action Options:

1) A Docket must be selected (clicked) before the Use Selected button will show.
2) Click the Use Selected button to bring up the main Docket Tracking window (Figure 10)

Features:

A new search can be entered here, by typing a different Docket number and selecting Find.

Note: The Docket Tracking window also has the button for adding new dockets. (Fig. 10-12)

Main Docket Tracking Screen

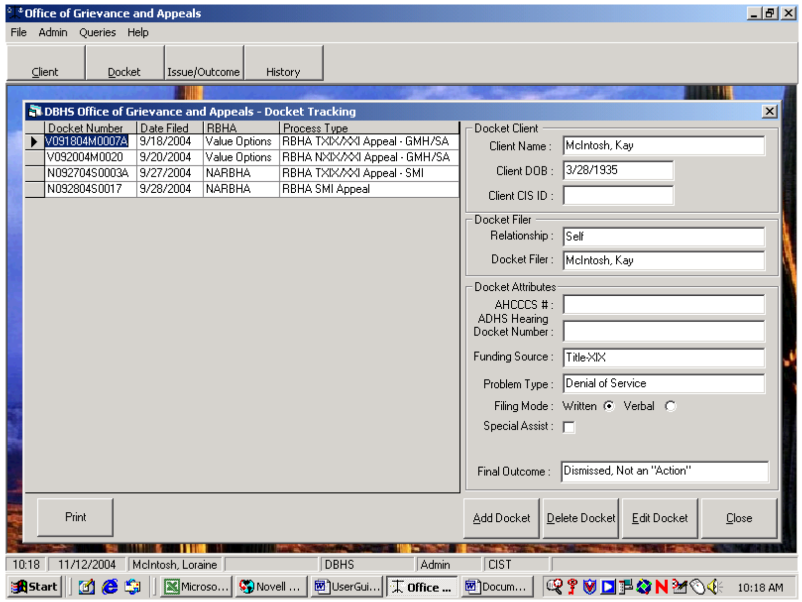


Figure 10

The screen has this appearance for RBHA Data Entry Users.
(Note: Most of the Dockets shown in this example are of the RBHA Appeal type)

Action Options :

1) Print – Print the Docket Tracking Screen for the selected Docket
2) Add Docket (Fig. 11)
3) Edit Docket (Fig. 12)
4) Add/Edit Docket Issues and Issue Outcomes (Fig. 13-17)
5) Add/Edit Docket History – record additional events in the Docket processing. (Fig.18-22)
6) Add/Edit Docket Corrective Actions – for Grievances or Investigations. (Fig.23-25)
7) Add/Edit Docket Investigators – for Grievances or Investigations. (Fig.26)
8) Client Lookup and Docket Lookup are available here.
9) Select the Docket to be used by clicking on that line.

Features:

- On Claims Disputes, there would be an additional box, below the Special Assist box, for the Claim Count – number of clients involved in the appeal.
- On Grievances, there would be an additional box, to the right of the Special Assist box, to allow the option of naming a Respondent – the person accused of the rights violation. Names are to be entered as: last name, first name.
- For BHS users, the Respondent name is mandatory for cases of physical or sexual abuse. RBHA users have the option of entering this information.
- For Grievances or Investigations, there would be additional buttons on the tool bar, at the top, to specify Corrective Action or the Investigator assigned.
- Administrative Users can see an additional button for Delete Docket.

Adding a Docket

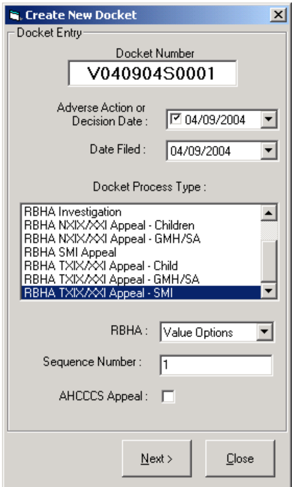


Figure 11

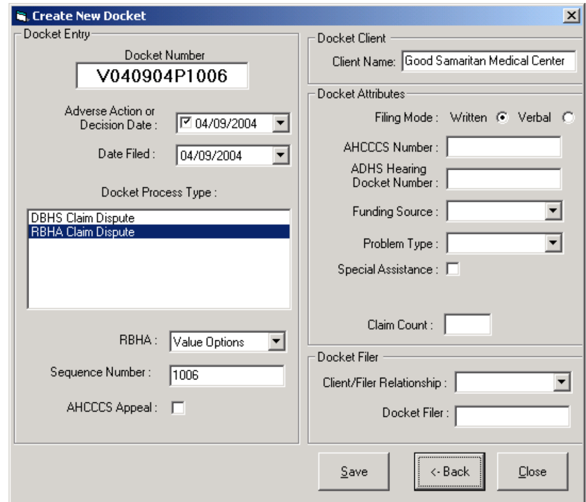


Figure 12 – this is a Provider docket

The form will look like the one on the left at first. After filling out the information, click Next.

Actions: The Docket Number field can not be touched directly. Fill out the following information:

1) The Adverse Action date is optional. If it is not known, uncheck the box to the left of that date.
2) The Date Filed has an arrow to drop down a calendar to choose the date from. [Note: The example date (040902) will be part of the Docket Number.]
3) Select a Process Type. A one letter code following the date will be added to the Docket Number. The Process Types list applies to either Clients or Providers.
4) For RBHA Data Entry users, the RBHA will have an assigned value, which sets the first letter of the Docket Number. (DBHS Processes have the prefix 'B'.)
5) Enter a Sequence Number according to the series, starting on January 1st with the number 0001. Sequence numbers can be up to four digits. Zeroes will be filled in.
6) The AHCCCS Appeal box will be filled in automatically.
7) Click the Next button, to expand the form, as on the right above.
8) If Close is clicked, the Docket will not be saved. No warning is given.

Actions on the right hand form:

- Client Name is filled in from previous selections, and can not be changed.
- Certain fields are required – the Funding Source, Problem Type, Filer Relationship, and Docket Filer name. Problem Types are designated as they relate to the Process Type.
- Docket Filer name should be entered Last name, First name, similar to the Client Name.
- Click Save to create the new Docket. This may take a little time.
- Control will return to the Docket Tracking screen (Fig. 10) for further processing – addition of Corrective Actions, event History, etc.

Edit Existing Docket

Fields in Figure 11, and the Client name, can't be changed after the docket has been saved.

Issue/Outcome Maintenance

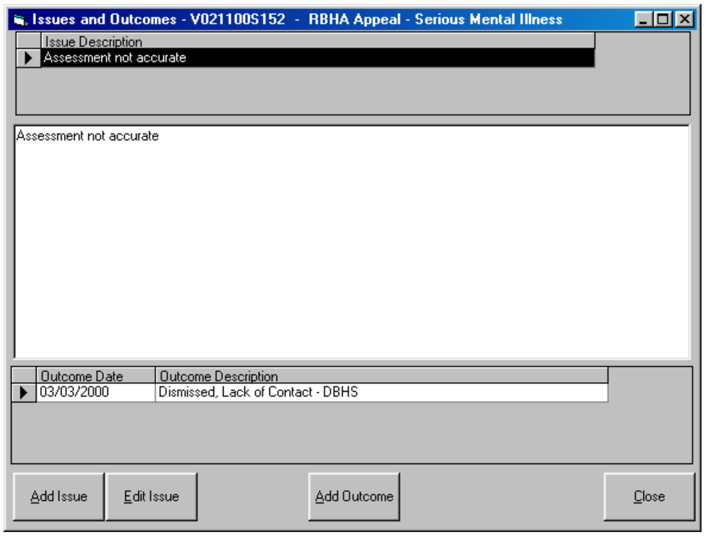


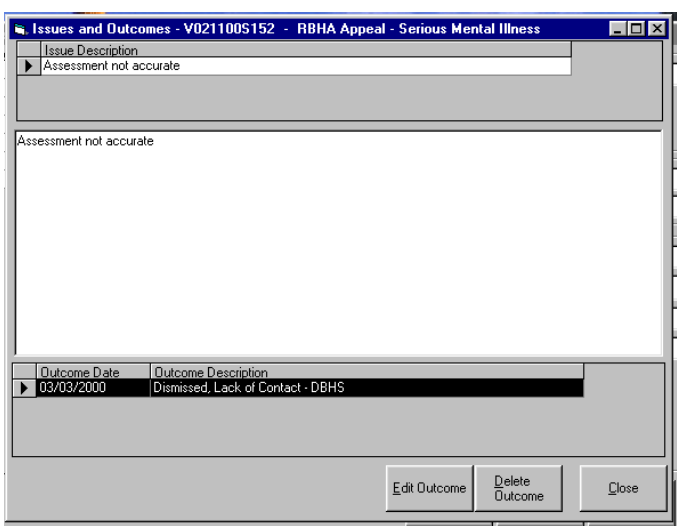
Figure 13

Issues and Outcomes can be added or edited by clicking the Issue/Outcome button on the tool bar on the Docket Tracking form (Fig. 10)

If there are no Issues, a message box asks "Would you like to add one?"

Action Options:
1) Click button to Add a new Issue. (Fig. 13)
2) To Edit an existing Issue, click on the related Issue line, then click Edit Issue. (Fig. 15)
3) Add Outcomes related to the selected Issue. (See Fig. 16)

Features:
- As Issues are selected, related Outcomes are shown in the lower half of the screen.
- The existing Outcomes can be edited. Click on the Outcome line, as shown below.
- Only Administrative Users have the extra buttons to Delete Issue or Delete Outcome.



Adding an Issue

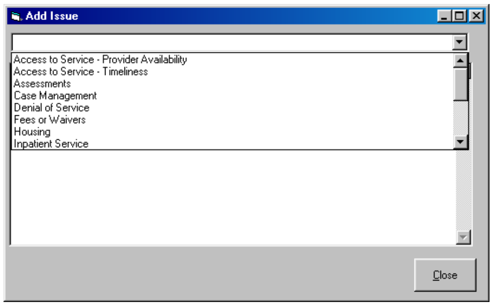


Figure 14

Issues can be added by clicking Add Issue button on Issue/Outcome Maintenance form.

Actions:

1) Click the top line to drop down a list. Issues related to the Process Type of the current docket will be shown. (Fig. 14)
2) The large space below is for comments, or clarification of the issues.
3) Entry of multiple issues is allowed.

Features:

- When the Issue is selected, an additional button will appear, to the left of the Close button, to say Add Issue (Save)
- If no comment is entered, a default ‘No Comment’ entry is added.
- If Close is clicked, the Issue will not be saved. No warning is given.

Editing an Issue

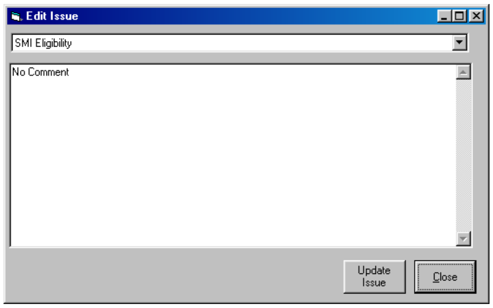


Figure 15

Features:

- Only the comments can be changed, not the Issue itself.
- Administrative Users have an extra button, on the Issues and Outcomes form, to Delete Issues

Adding an Outcome

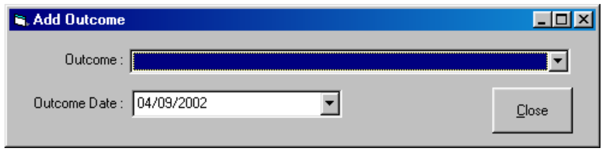


Figure 16

Outcomes can be added by clicking Add Outcome button on Issue/Outcome Maintenance form. (See Fig.13)

Actions:

1) Click the top line to drop down a list. Outcomes related to the Process Type of the current docket will be shown.
2) There are no comments on Outcomes.
3) Entry of multiple Outcomes is allowed.

Features:

- When the Outcome is selected, an additional button will appear, to the left of the Close button, to say Add Outcome (Save)
- If Close is clicked, the Outcome will not be saved. No warning is given.

Editing an Outcome

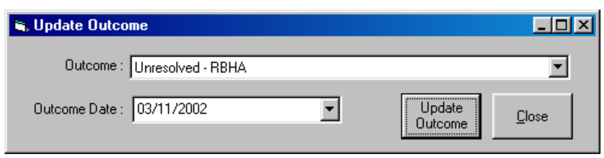


Figure 17

Existing Outcomes can be edited by clicking on the Outcome line on the Issue/Outcome Maintenance form, as shown at the bottom of Page 10.

Features:

- Only the date can be changed, not the Outcome itself.
- Administrative Users have an extra button, on the Issues and Outcomes form, to Delete Outcomes.

History Event Maintenance

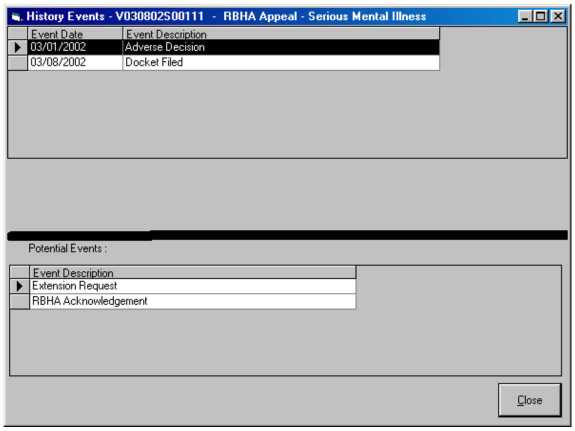


Figure 18

Adding a History Event

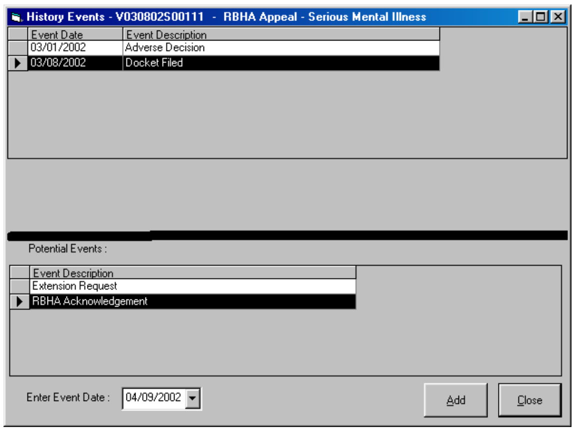


Figure 19

To add events to the History sequence for a Docket, select a Docket, then click the History button, in the tool bar at the top of the form shown in Figure 10.

Actions:

1) When a Potential event is selected, the Add button will appear, on the right, and a box to enter the date of this event will show on the left, at the bottom. (Figure 19)
2) Each time an event is added, it will show in the top window, and another series of Potential Events will appear at the bottom.
3) When the whole sequence of events has been entered, for the RBHA level, the Docket Closed event will show as one of the last Possible Events.
4) Once the Docket Closed event is entered, a window will appear for the Final Outcome of this case. (Figure 20)
5) The Final Outcome window has a drop down arrow for selection of the description. The window cannot be closed, until the Description is selected (required).
6) Click Add Final Outcome.
7) Even after the Docket has been closed, there may still be further possible actions, including appeals, review requests, etc.

Features:

- The sequence of Possible Events is specific to the Process Type and Program.
- An Extension request can be made, at almost any point in the process.
- If an Event is clicked in the top half of the window, a button to Remove that Event will appear on the right hand side. (Figure 21)
- Important: If an Event is Removed, even in the middle of the History sequence, ALL subsequent events are also removed.
- The RBHA users can see additional events that are added if a Docket is forwarded to DBHS. After DBHS has started adding events to the Docket, the RBHA can no longer change the event history record. (Figure 22)
- If more events are added than fit in the top window, a scroll bar will show, on the right, to view the rest of the event sequence.
- If an Event is selected, but the Add button is not clicked, the Event will not be saved, if the Close button is clicked.

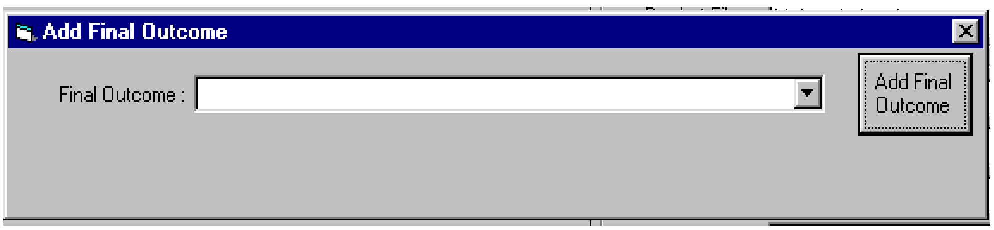


Figure 20

Removing History Event(s)

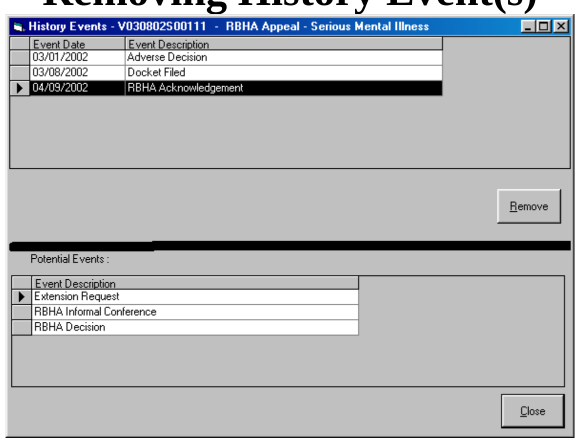


Figure 21

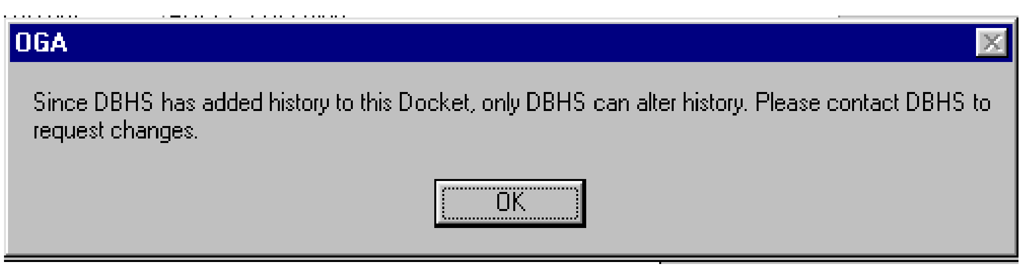


Figure 22

Corrective Action Maintenance

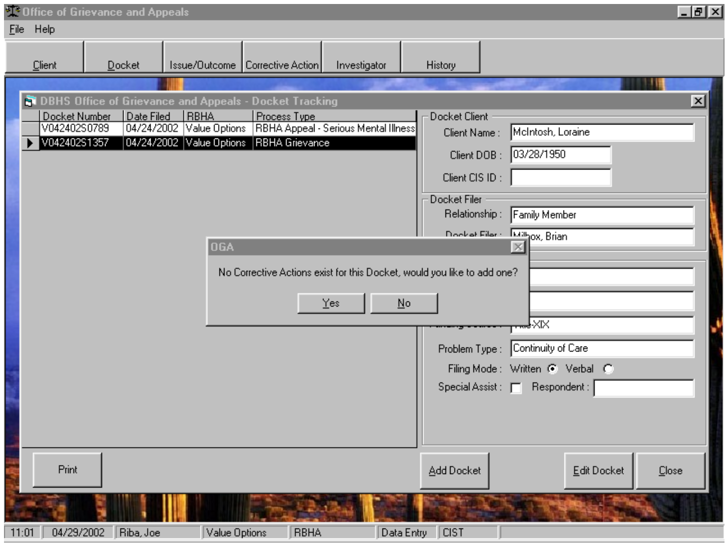


Figure 23

Only Grievances and Investigations have Corrective Actions and Investigator options. To add Corrective Actions to a Docket, select a Docket, then click the Corrective Action button, on the tool bar at the top of the form, as shown above. If there are no Corrective Actions already entered, a message box asks “Would you like to add one?”

Add Corrective Action

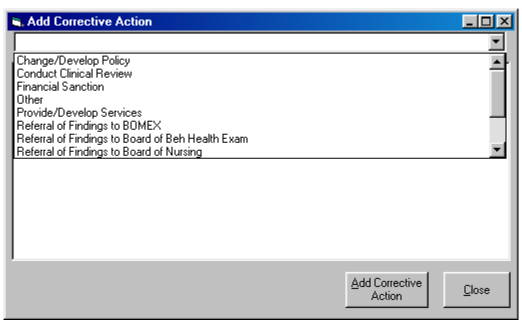


Figure 24

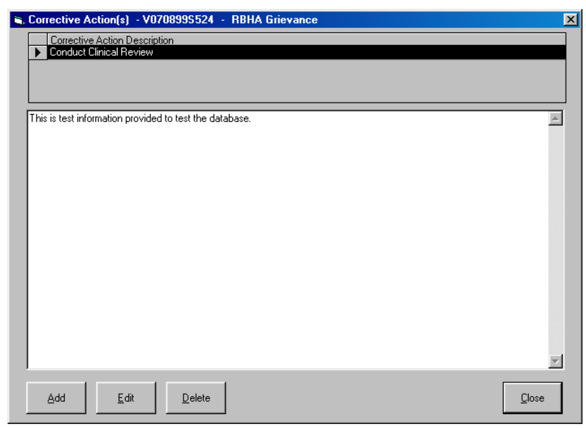


Figure 25

Actions:

If there are no Corrective Actions, one can be added, as in Figure 24.

1) Click the drop down box and use the scroll bar to select an action.
2) Comments can be added in the space below, such as additional details about the Action.
3) Click Add Corrective Action to save the information entered.
4) Entry of multiple Corrective Actions is allowed.
5) If Close is clicked, the entry will not be saved. No warning is given.

If there are other Corrective Actions already, see Figure 25.

- Only Administrative Users can see the button to Delete Corrective Action entries.

Editing Corrective Actions: Only the comments can be changed. Save button is on the right.

Docket Investigator Maintenance

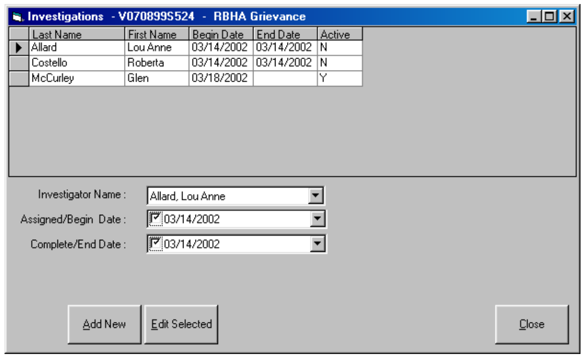


Figure 26

Only Grievances and Investigations have Corrective Actions and Investigator options. To add or change Investigators for a Docket, select a Docket, then click the Investigator button, in the tool bar at the top of the form, as shown in Figure 23. If there is no Investigator entered, a message box asks “Would you like to add one?”

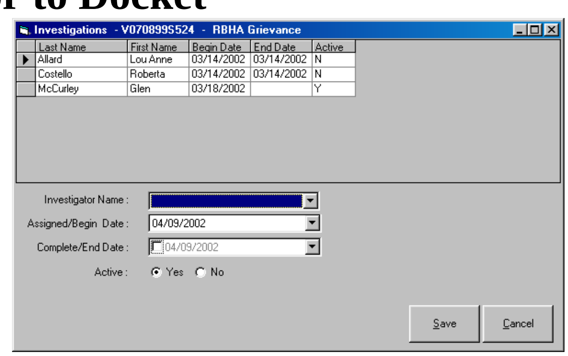
Actions:

1) If there are no Investigators assigned, only the Add New and Close buttons will show.
2) Click the Add New button to make the boxes active, and show the Save button, on the right.
3) Click the drop down for a list of Investigators that are valid for this RBHA.
4) Begin date and End date are optional. Remove the check mark to leave out that date.
5) Click Save. If Close or Cancel is clicked, the entry will not be saved.

Features:

- When changing an existing Investigator, click on the Investigator to make the Edit button show.
- Only the Dates can be changed. A Completion date can be assigned in the future, as an estimate.
- An Investigator can be given an End Date for a given time range, and then added in again at a later date.
- More than one Investigator can be assigned.
- Investigators can not be deleted, but the Investigator on the docket can be inactivated (See Active option buttons in Figure below)

Add Investigator to Docket



Example: Claim Dispute

All of the examples, up to this point, have described Dockets for Clients. The following example walks through a Claim Dispute.

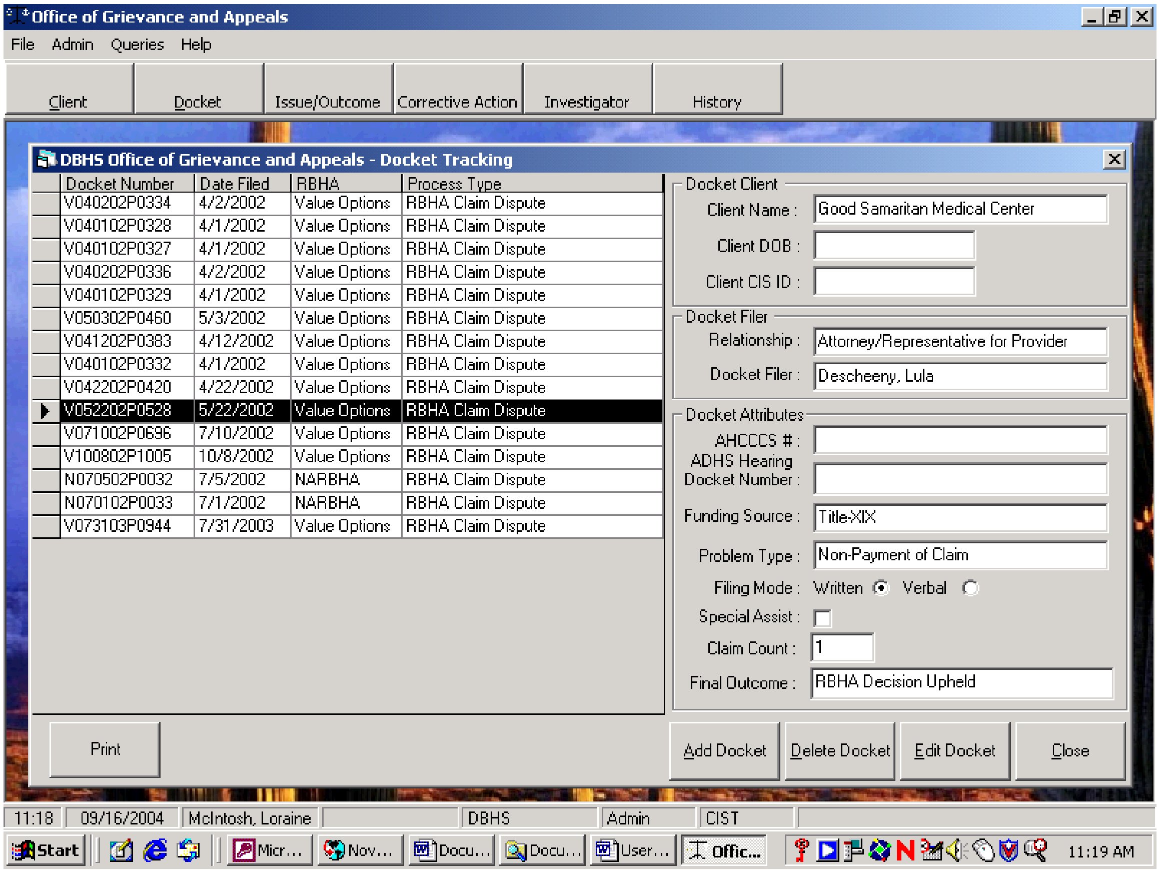


Figure 27

The process up to this point has included:

1) Select the Provider option on the Client Lookup screen (Fig. 3) and click Find,
2) Select one of the Providers in the resulting list, and click Use Selected,
3) Add a new Docket (Fig. 11) with the Process Type of RBHA Claim Dispute, and Problem Type (Fig. 12) of Non-Payment of Claims.
4) Fill in information, including the Count box shown above, on the right, in Figure 27.

Claim Dispute Dockets are intended to document the Provider's Issues from the perspective that the Provider is the central party to this administrative process. Therefore, neither the client's names nor specific claim information is required to be tracked.

Client data is optional.

Should the RBHA desire to track more specific claim info, DBHS recommends using the following technique:

Actions:

1) Click the Issue/Outcome button on the tool bar at the top of the form.
2) Add the Issue, as in Figure 14, selecting Non-Payment of Claim, and adding the Client names, with Date of Service, in the Comments portion of the form (Fig. 28)
3) Each time a new form comes in, it is date-stamped, and a new Docket is entered with the claim count, for a group claims that are being disputed. Claims cannot be added to that Docket at a later time.

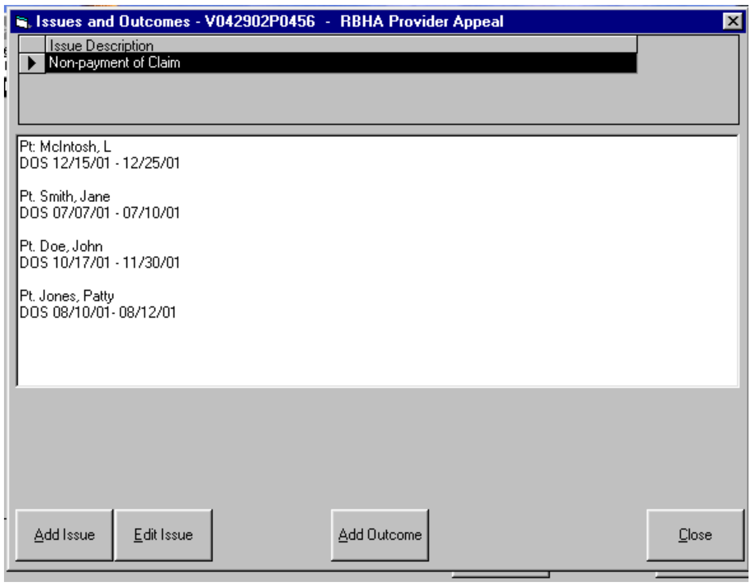


Figure 28

Summary

This document has given an overview of how to use the Docket Tracking system. There are many more details that people will come across as they become familiar with the screens and what each button does. Advanced techniques include using the Print button to document system problems.

Administrative Users have certain further responsibilities, such as the ability to delete records, and to define new Investigators. Read-Only Users cannot see any of the buttons to add or change information. Only DBHS Administrators can see the audit trail of data base transactions.

Upgrades will occur automatically at Logon, but are not expected to happen very often.

Addendum A: Security Requirements

Changes are being made in the Security portion of the OGA system. Passwords must now meet the following requirements:

1) 6 characters minimum, 8 characters maximum.
2) Include 1 number
3) Use the characters A – Z, a – z, and 0 –9. CASE INSENSITIVE.
4) Other characters will not be recognized. Ex: # , . _ * - & etc.
5) Passwords do not expire in this release, but will in a future release.
6) User ID’s are not locked out after 3 unsuccessful attempts in this release, but will be in a future release.

Administrative Users will no longer be able to add new Users. The ITS Security department is responsible for adding User ID’s. To add new Users, fill out the ADHS Computer User Registration Request Form and the User Affirmation Statement and mail them to the Security Administration address on the form.

On the User Registration Request Form, check the box on the **BHS=** line, where it says OGA. Make a note, under Other Instructions, to say whether the user’s function will be Admin, Data Entry or Read-Only. These forms are available from the Help Desk – ask for Security Administration. Allow time for this process to take 3-5 work days.

Examples:

1) If the password entered is: my#dog
This entry will not be accepted, because it doesn’t have a number in it. Also, the OGA program will ignore the # character. Even if a number were added, OGA would not match the password in the future, because the # is discarded.

2) If the password entered contains the letters ‘Hat’ or ‘hat’
These two entries would be counted as exactly the same, because passwords are no longer case sensitive. Of course, this entry is too short and needs to use a number.

Other changes will be announced, in the future, for the Health Insurance Portability and A Accountability project (HIPAA).